	Gaining Physical and Electronic Access to NASA IV&V Resources	**IVV 03** **Revision: B** **Effective Date:** **June 22, 2010**
Independent Verification & Validation Program		

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APPROVAL SIGNATURES		DATE
Gregory Blaney (original signature on file)	IMS Representative	06/22/2010

REVISION HISTORY			
Revision	Description of Change	Author	Effective Date
Basic	Initial Release	Zachary Stewart	10/01/2009
A	Updated Reference Documents to point to new In/Change-Processing and Out-Processing forms	Sara Cain	10/20/2009
B	Updated verbiage in Section 6.0, *Records,* and precedence statement after Reference Documents table	David Sheldon	06/22/2010

REFERENCE DOCUMENTS	
Document	Title
IVV QM	NASA IV&V Quality Manual
GPR 1600.1	Goddard Security Requirements
Form 1801	NASA IV&V Facility In/Change-Processing
Form 1803	NASA IV&V Facility Out-Processing
Form I-9	USCIS Employment Eligibility Verification
NF 306	Declaration for Federal Employment
NF 1760	Position Risk Designation for Non-NASA Employee
NPD 1600.2	NASA Security Policy
NPR 1441.1	NASA Records Retention Schedules
NPR 1600.1	NASA Security Program Procedural Requirements
http://www.opm.gov/e-qip/	e-QIP web site
https://ivan.esportals.com/login.cfm	Goddard Security Division: Foreign Nationals
https://satern.nasa.gov	NASA SATERN web site

If any process in this document conflicts with any document in NODIS, this document shall be superseded by the NODIS document. Any reference document external to NODIS shall be monitored by the Process Owner for current versioning.

1.0   Purpose

The purpose of this system level procedure (SLP) is to establish In-Processing, Change-Processing, and Out-Processing procedures for employees needing physical and/or electronic access to NASA IV&V resources. These procedures meet the standards of the HSPD (Homeland Security Presidential Directive)-12 and local requirements for gaining physical/logical access to NASA IV&V resources.

Two different forms are used for the scenarios described. The employee should identify which scenario best fits his/her situation and follow the instructions provided on the appropriate form.

- An employee who is requesting access to NASA IV&V resources (on-site or off-site) shall submit IMS Form 1801, *NASA IV&V Facility In/Change-Processing*. This form is also used for a vetted user (a user who has already been in-processed at another NASA Center).
- An employee who is requesting a change in his/her name, address, location, or company, or any other non-contractual change, will fill out IMS Form 1801, *NASA IV&V Facility In/Change-Processing*, only filling out the fields applicable to the change being requested.
- An employee who is leaving the NASA IV&V Program and no longer needs access to any NASA IV&V resources must submit IMS Form 1803, *NASA IV&V Facility Out-Processing*.

In the rare case that an employee changes contracts, the employee's former contractor must complete Form 1803, and the employee's new contractor must complete Form 1801.

2.0   Scope

This SLP applies to all prospective and existing NASA IV&V personnel, including civil service and contract employees, Foreign Nationals and United States citizens, and on- and off-site employees.

The NASA IV&V Program requires certain credentials in order to accommodate proper badge/information technology (IT) processing for employees, regardless of whether they are new, making changes, or leaving the NASA IV&V Program.

NASA IV&V civil service personnel and Foreign Nationals may have additional requirements that are not covered in this procedure.

3.0 Definitions and Acronyms

Official NASA IV&V roles and terms are defined in the Quality Manual. Specialized definitions identified in this SLP are defined below.

3.1 Applicant

The Applicant is the employee subject to the badge-processing procedure. The Applicant is responsible for submitting all credentials necessary for requesting physical or logical access to NASA facilities or resources.

3.2 Basic Information Technology (IT) Security Training

Basic IT Security Training is training required for all employees requesting computer access. All employees requesting access to NASA systems must complete and pass Basic IT Security Training through the System for Administration, Training, and Educational Resources for NASA (SATERN) (https://satern.nasa.gov).

3.3 e-QIP

The Electronic Questionnaire for Investigations Processing system (e-QIP) is part of an e-government initiative sponsored by the United States Office of Personnel Management (OPM). The e-QIP system allows the Applicant to electronically enter, update, and transmit personal investigative data over a secure Internet connection to the employing agency for review and approval.

3.4 Foreign National

A Foreign National is any person who is not a citizen of the United States. For more information regarding NASA IV&V access for Foreign Nationals, see Goddard Security Division information on Foreign Nationals (https://ivan.esportals.com/login.cfm).

3.5 Goddard Space Flight Center (GSFC) Security

GSFC Security performs background investigations and authorizes identities in IdMAX for the badging portion of the In-Processing procedure.

3.6 Identity (ID) Manager

The NASA IV&V ID Manager coordinates all aspects of personnel processing and technical maintenance for all personnel working at or associated with the NASA IV&V Facility.

3.7 Identity Management and Account Exchange (IdMAX)

IdMAX is an Agency web directory used by the ID Manager for identity creation and In/Change/Out-Processing for NASA IV&V employees.

3.8 NASA Form (NF) 1760

NF 1760 is a form that must be filled out by a contract employer for a new employee. It is a position risk management form that must be filled out and signed by the employer and approved by the Contracting Officer Technical Representative (COTR) of the new employee.

3.9 National Agency Check with Inquiries (NACI)

NACI is the minimum level of investigation required of Federal employees as a condition of employment with the Federal government and for contract employees as a condition for access to Federal facilities and information systems. It includes a check of law enforcement records and written inquiries to schools, police departments, and other references to verify an Applicant's status. The required background investigation also includes a fingerprint check of the Applicant.

3.10 Permanent Employee

A permanent employee is any civil service or contract employee requesting access to a NASA facility for 180 days or more. All permanent employees must be PIV badged.

3.11 Personnel Identification Verification (PIV) Authorizer

The PIV Authorizer is a civil service employee and GSFC Security Official who initiates any required background investigation for the Applicant. The PIV Authorizer communicates with the PIV Requester/Sponsor regarding the Applicant's need for enrollment, the Applicant's e-QIP, etc., and authorizes the Applicant for enrollment and badge issuance. The PIV Authorizer is also responsible for disabling an employee's identity when the employee is out-processed from NASA.

3.12 PIV Enrollment

PIV enrollment is the process that prompts the NACI investigation. For PIV enrollment, the employee must submit electronic copies of various credentials, as well as two documents from the Lists of Acceptable Documents as listed on United States Citizenship and Immigration Services (USCIS) Form I-9, needed by the Office of Personnel Management (OPM). For detailed information on acceptable documents, see the Form I-9 Document List.

3.13 PIV Requester

The PIV Requester provides initial data about the Applicant and submits a PIV request in IdMAX on behalf of the Applicant.

3.14 PIV Sponsor

The PIV Sponsor is a NASA civil service employee who validates the information between the Applicant and the Agency in IdMAX. For NASA IV&V civil service employees, the sponsor is the GSFC Office of Human Capital Management (OHCM). For contract employees, the sponsor is the COTR or another NASA civil service employee responsible for work requirements.

3.15 RSA SecurID® Token

An RSA SecurID® Token is a portable device required by NASA for access to NASA IT resources.

3.16 Temporary Badge

A local temporary badge may be issued by NASA IV&V Security while the issuance of an official PIV badge is pending.

3.17 Temporary Employee

A temporary employee is a civil service or contract employee who is requesting access to the NASA IV&V Facility for less than 180 days and will not be PIV enrolled. A temporary employee, like any other employee, must complete Basic IT Security Training.

3.18 Acronyms

COTR	Contracting Officer Technical Representative
e-QIP	Electronic Questionnaires for Investigations Processing
GSFC	Goddard Space Flight Center
HSPD	Homeland Security Presidential Directive
IdMAX	Identity Management and Account Exchange
IMS	NASA IV&V Management System
IT	Information Technology
LISTS	Locator and Information Services Tracking Systems
MSFC	Marshall Space Flight Center
NACI	National Agency Check with Inquiries
NF	NASA Form
NPR	NASA Procedural Requirement
OHCM	Office of Human Capital Management
OPM	Office of Personnel Management
PIV	Personnel Identification Verification
SLP	System Level Procedure
USCIS	United States Citizenship and Immigration Services
VPN	Virtual Private Network

4.0   Process Flow Diagrams

The following diagrams depict the processes described in this SLP, and the responsibilities and actions that shall be performed by the process participants or designees. Any information supplemental to a depicted process will appear after the diagram.
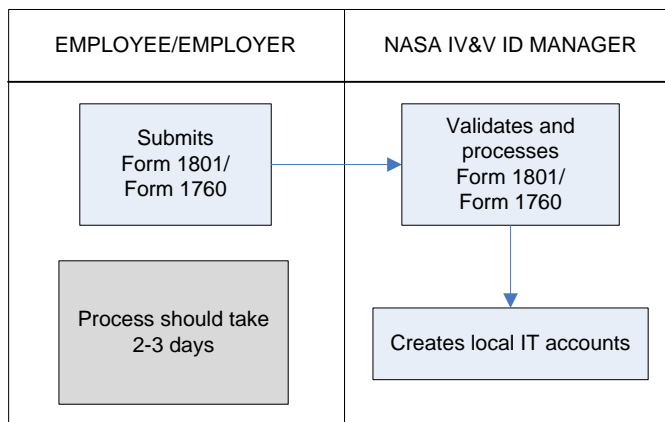
4.1   In-Processing a New Employee
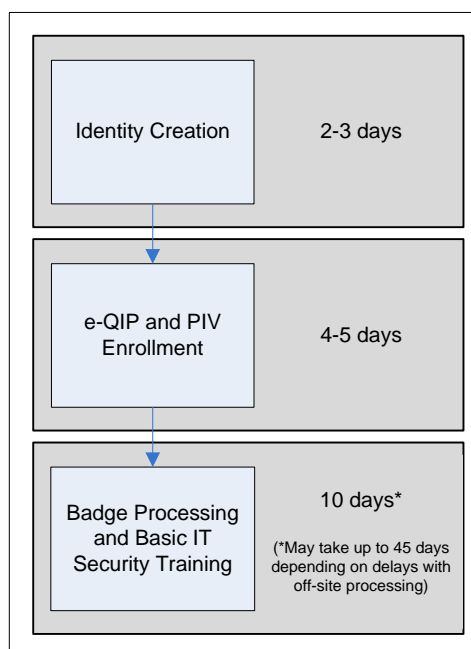
The procedure for in-processing a new employee can be broken down into three basic stages: Identity Creation, e-QIP and PIV Enrollment, and Badge Processing and Basic IT Security Training. The processes for each of these stages are captured in Sections 4.1.1, 4.1.2, and 4.1.3 of this SLP. The purpose of this flow is to demonstrate how those processes relate sequentially to fulfill the task of In-Processing an employee, while also providing the overall timeline by which the individual processes operate.

4.1.1 Identity Creation

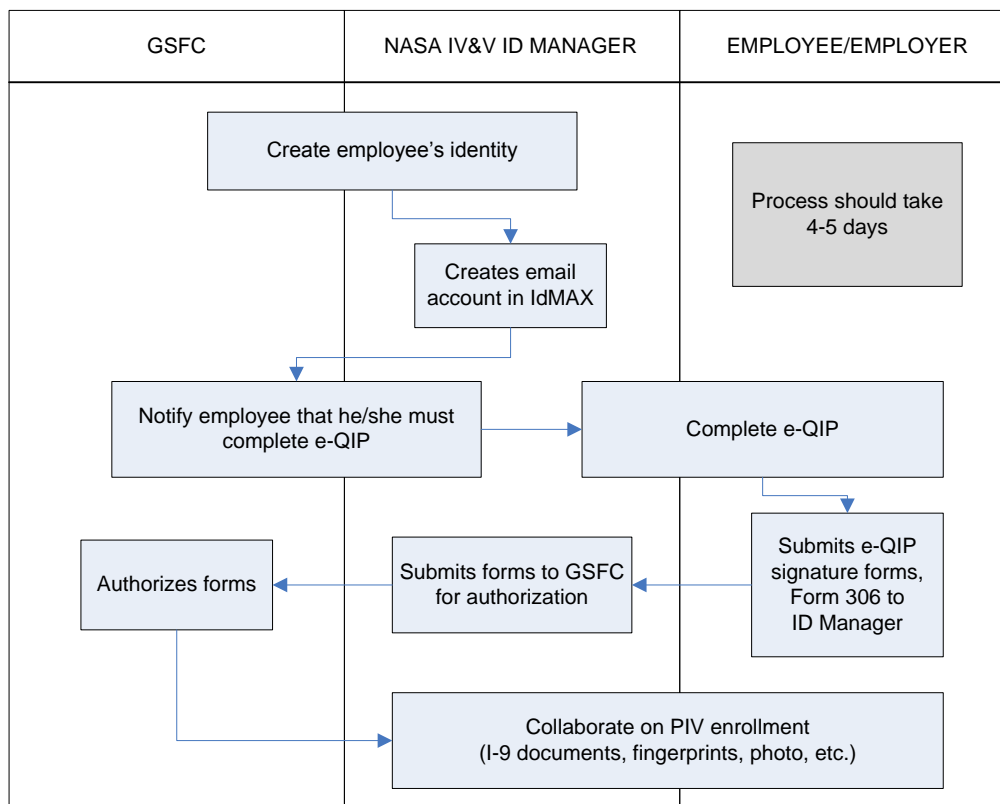| EMPLOYEE/EMPLOYER	NASA IV&V ID MANAGER
Submits Form 1801/ Form 1760	Validates and processes Form 1801/ Form 1760
Process should take 2-3 days	Creates local IT accounts

To in-process an Applicant, the Applicant's employer shall submit all required information as soon as possible, but at least 15 business days in advance of the Applicant's arrival at the NASA IV&V Facility.

To begin the process, the Applicant or employer must submit Form 1801 and NASA Form (NF) 1760, *Position Risk Designation for Non-NASA Employee*. The ID Manager shall ensure that NF 1760 has been signed by the employer and approved by the COTR. All forms must be completed correctly before information is put into the NASA IV&V workflow.

The ID Manager shall also be responsible for creating the Applicant's identity and IT accounts in NASA IV&V systems; however, the Applicant will not have access to these resources until his or her identity has been vetted.

4.1.2 e-QIP and PIV Enrollment

GSFC	NASA IV&V ID MANAGER	EMPLOYEE/EMPLOYER
	Create employee's identity	Process should take 4-5 days
	Creates email account in IdMAX	
Notify employee that he/she must complete e-QIP		Complete e-QIP
Authorizes forms	Submits forms to GSFC for authorization	Submits e-QIP signature forms, Form 306 to ID Manager
	Collaborate on PIV enrollment (I-9 documents, fingerprints, photo, etc.)	

After the ID Manager and GSFC Security staff collaborate to establish the Applicant's identity, approval from the sponsor must be completed to proceed any further.

Once the ID Manger creates the Applicant's e-mail account in IdMAX, the Applicant will receive an email from GSFC or NASA IV&V notifying the Applicant to begin the e-QIP process. The Applicant may access the e-QIP system via the e-QIP web site (http://www.opm.gov/e-qip/).

Upon completion of the e-QIP process, the Applicant must submit the two e-QIP signature forms as well as NF 306, *Declaration for Federal Employment*, to the ID Manager. Then, the ID Manager will notify the Applicant when it is time to begin PIV Enrollment.

The Applicant must schedule an appointment with the ID Manger in order to complete the PIV enrollment process. The appointment **must be made within three business days** of receiving notice of enrollment eligibility.

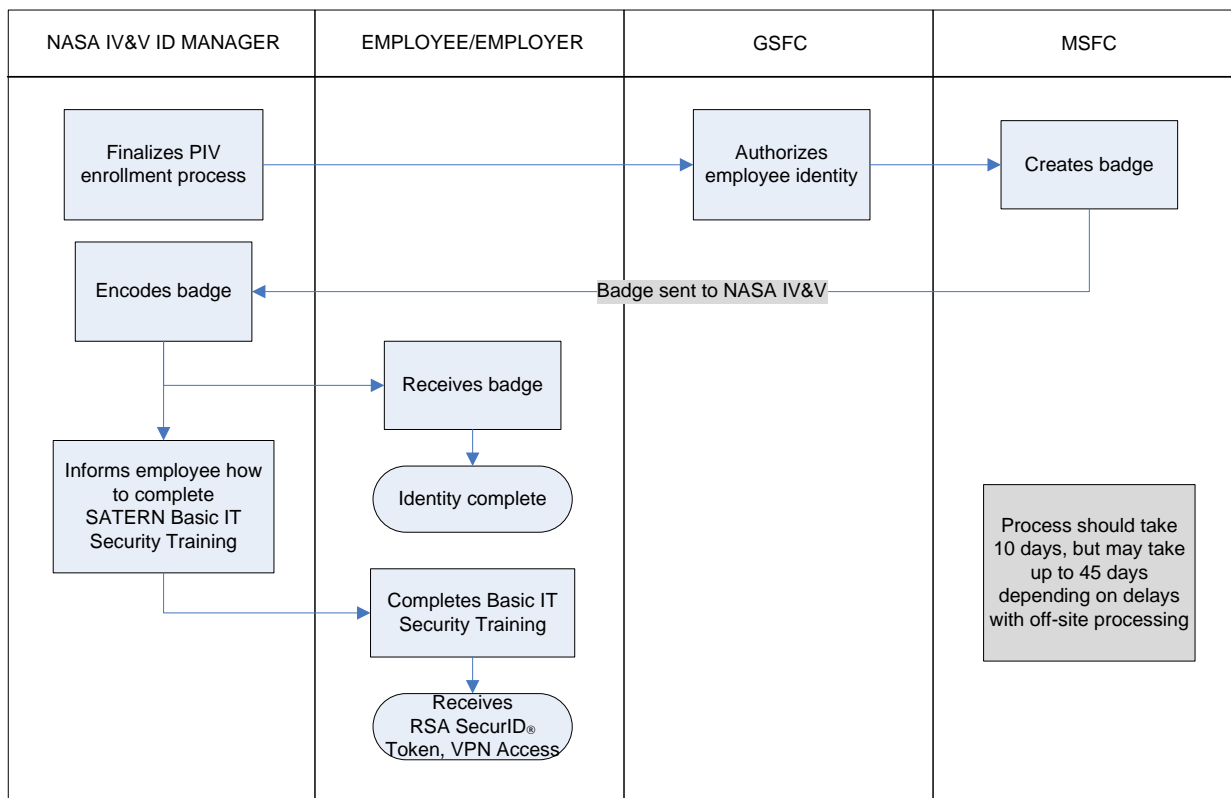For PIV Enrollment, the Applicant must:

- Provide two Form I-9 documents, to be electronically scanned by the ID Manager
- Be fingerprinted electronically
- Have his/her photograph taken
- Electronically sign an agreement with the NASA Privacy Act Statement

Upon completion of these steps, the ID Manager shall release the Applicant's information and credentials to the OPM to start the NACI investigation process.

4.1.3 Badge Processing and Basic IT Security Training

NASA IV&V ID MANAGER	EMPLOYEE/EMPLOYER	GSFC	MSFC
Finalizes PIV enrollment process		Authorizes employee identity	Creates badge
Encodes badge		Badge sent to NASA IV&V	
	Receives badge		
Informs employee how to complete SATERN Basic IT Security Training	Identity complete		Process should take 10 days, but may take up to 45 days depending on delays with off-site processing
	Completes Basic IT Security Training		
	Receives RSA SecurID® Token, VPN Access		

Before a PIV badge is issued, the GSFC PIV Authorizer must authorize the Applicant's identity to complete PIV Enrollment. The NASA central badging facility will be notified when PIV Enrollment has been completed.

The Applicant's badge will be created at the NASA central badging facility, the Marshall Space Flight Center (MSFC).

The ID Manger shall encode the Applicant's badge upon its arrival at the NASA IV&V Facility. NASA IV&V Security will notify the Applicant when the badge is ready to be finalized.

Fingerprint recognition is required to finalize a badge. An on-site NASA IV&V Applicant must go to the front security desk to receive

the badge. An off-site Applicant shall go to the NASA Center that has contacted him/her about receiving the badge.

Finalization of the badge indicates that the Applicant's identity is complete, and the Applicant is granted physical access to NASA IV&V resources. To gain electronic access, the Applicant is required to take the Basic IT Security Training course through SATERN. The ID Manager will send the Applicant an email containing the Applicant's username and password for the SATERN system. Civil service employees will need to contact the NASA IV&V Help Desk for assistance on accessing the SATERN system.

Proof of completed Basic IT Security Training is needed to begin the process of getting an RSA Token and a Virtual Private Network (VPN) account for remote network access. Once these steps are completed, the Applicant has physical and electronic access to NASA IV&V resources.

4.2 Change-Processing

An employee who is requesting a change in his or her name, address, location, or company, or who needs to make any other non-contractual change should fill out Form 1801.

The employee shall deliver the completed form to the ID Manager, who will be responsible for implementing the requested change. The ID Manager will notify the employee when the change has been implemented.

4.3 Out-Processing

Prior to the last day of an employee's service with the NASA IV&V Program, the employee is required to submit Form 1803.

The employee is responsible for ensuring that Sections 1, 2, and 3 are filled out completely and have received the proper signatures.

Upon submitting the form to the ID Manager, the employee is responsible for ensuring that the vacated office space has been cleaned out and that all government items (e.g., badge, keys, books) have been returned to the proper personnel. The ID Manager will complete Section 4 of Form 1803 pending the fulfillment of this step, thereby completing the employee's Out-Processing.

5.0   Metrics

Any metrics associated with this SLP are established and tracked within the NASA IV&V Metrics Program.

6.0   Records

The following records will be generated or updated and filed in accordance with this SLP and IVV 16, *Control of Records*, and in reference to NPR 1441.1, *NASA Records Retention Schedules*.

Record Name	Original	Vital	Responsible Person	Retention Requirement	Location
In/Change-Processing Form 1801 (Form 180-01 prior to October 20, 2009)	Y	N	ID Manager	Retain for a period of time depending on the need for use; destroy or otherwise dispose of when superseded or no longer needed (1/104)	ECM System
Out-Processing Form 1803 (Form 180-03 prior to October 20, 2009)	Y	N	ID Manager	Retain for a period of time depending on the need for use; destroy or otherwise dispose of when superseded or no longer needed (1/104)	ECM System
NF 1760 signature page	Y	N	ID Manager	Retain for a period of time depending on the need for use; destroy or otherwise dispose of when superseded or no longer needed (1/104)	GFSC Secured Data Repository/ ECM System
NASA IV&V Orientation signature page	Y	N	ID Manager	Retain for a period of time depending on the need for use; destroy or otherwise dispose of when superseded or no longer needed (1/104)	ECM System